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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for funding to develop, design, and administer the Law Enforcement Core Statistics Program (LECS). The LECS will incorporate three of BJS's core law enforcement programs: the Law Enforcement Management and Administrative Statistics (LEMAS) survey, the Census of State and Local Law Enforcement Agencies (CSLLEA), and the Census of Federal Law Enforcement Officers (FLEO). This program furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

## **FY 2015 Law Enforcement Core Statistics Program (LECS)**

### **Eligibility**

Eligible applicants are national, regional, state, or local public and private entities, including for-profit and nonprofit organizations, faith-based and community organizations, institutions of higher education, federally recognized Indian tribal governments as determined by the Secretary of the Interior, and units of local government that support initiatives to improve the functioning of the criminal justice system.

Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to make grants to, or enter into contracts or cooperative agreements with, states, units of local government, federally recognized Indian tribal governments as determined by the Secretary of the Interior, nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

BJS welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the project. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award.

Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations. For additional eligibility information, see Section [C. Eligibility Information](#).

## Deadline

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 22, 2015.

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in Section D. Application and Submission Information.

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email BJS at email below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Shelley S. Hyland, Statistician and Program Manager by telephone at 202-307-0765, or by email at [AskBJS@usdoj.gov](mailto:AskBJS@usdoj.gov). Include “LECS” in the subject line. General information on applying for BJS awards can be found at <http://www.bjs.gov/index.cfm?ty=fun>.

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# FY 2015 Law Enforcement Core Statistics Program (LECS)

(CFDA # 16.734)

## A. Program Description

### Overview

The Bureau of Justice Statistics (BJS) is seeking proposals for assistance in developing, designing, and administering the Law Enforcement Core Statistics Program (LECS). In the past, the goal of the program was to provide accurate and timely national statistics about the personnel, operations, policies, and procedures of federal, state, county, and local law enforcement agencies (LEAs) in the United States. However, in this program, BJS is seeking to reshape the content and focus toward measuring agency performance. This shift will represent part of BJS's effort to respond to the challenge posed by the National Research Council's Committee on National Statistics, which commented:

BJS's work in law enforcement is hindered by a sharp and overly restrictive focus on management and administrative issues; its analysis of law enforcement generally lacks direct connection to data on crime, much less providing the basis for assessing the quality and effectiveness of police programs. It is also in the area of law enforcement, with the proliferation of numerous special agency censuses and little semblance of a fixed schedule or interconnectedness of series, where the need for refining the conceptual framework for multiple data collections is most evident.<sup>1</sup>

The LECS will incorporate three of BJS's core law enforcement programs: the Law Enforcement Management and Administrative Statistics (LEMAS) survey, the Census of State and Local Law Enforcement Agencies (CSLLEA), and the Census of Federal Law Enforcement Officers (FLEO). The development and implementation of these collections will be guided by a framework that integrates concepts of police performance into an establishment survey context.

As part of the LECS program, this 51-month project includes (1) fielding the LEMAS in 2016, (2) fielding a LEMAS supplement in 2017 on LEAs' use of body-worn cameras, (3) fielding the CSLLEA and the FLEO in 2018, (4) developing and testing a set of LEMAS supplemental survey instruments, and (5) disseminating findings to the public through research reports and a BJS web-based analytic data tool.

**Authorizing Legislation** Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to "make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals" for purposes of collecting and analyzing criminal justice statistics. 42 U.S.C. § 3732(c)(1).

### Program-Specific Information

The LECS is designed to capture critical data on the management and administration of law enforcement agencies in a systematic and efficient manner through the sequential

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<sup>1</sup> Groves, R.M., & Cork, D.L., eds. (2009). *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*. Washington, D.C.: National Research Council.

administration of the LEMAS, CSLLEA, and FLEO data collections. These programs are described below.

#### Law Enforcement Management and Administrative Statistics (LEMAS) survey

The LEMAS survey is the most systematic and comprehensive source of national data on law enforcement personnel, expenditures and pay, operations, equipment, computers and information systems, and policies and procedures. It provides national estimates for all state and local general purpose law enforcement agencies (i.e., any public agency with one or more sworn officers whose patrol and enforcement responsibilities are primarily delimited by the boundaries of a municipal, county, or state government) based on a nationally representative sample of agencies. LEMAS surveys have been conducted periodically since 1987; data collected through the surveys provide information on current issues and trends in law enforcement practices in the United States. These data have been used in policy making, planning, and budgeting at all levels of government. A list of publications based on LEMAS data is available at <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=248>.

LEMAS surveys are administered to a sample of general purpose state and local law enforcement agencies; agencies with 100 or more full-time sworn officers are selected with certainty, while those with fewer than 100 full-time sworn officers are sampled based on agency size and type (i.e., usually about 3,500 agencies). In 2007, the LEMAS survey contained 49 questions for agencies with 100 or more full-time sworn officers and 40 questions for agencies with less than 100 full-time sworn officers. The most recent LEMAS survey was administered in 2013 under the solicitation “*2010 Survey of General Purpose Law Enforcement Agencies.*” Although agencies were stratified into large (100 or more full-time sworn officers) and smaller (less than 100 full-time sworn officers) agencies, only one survey was administered. All agencies received a survey with 84 questions. The survey instrument will be modified prior to the administration of the 2016 LEMAS.

Data collection for the 2013 LEMAS survey was completed in 2014; 45% of surveys were completed in the first month of data collection. The overall response rate was 85%. Historically, the response rate has been 90% or higher. This exceptionally high response rate, as well as low rates of missing data, are expected in BJS law enforcement surveys and are encouraged by standards for federal statistical programs promulgated by the Office of Management and Budget (OMB). For the 2013 survey, agencies could respond by mail, email, fax, or the use of a web-based survey program. High response rates were achieved because of the administration of multiple survey modes and thorough follow-up.

#### Census of State and Local Law Enforcement Agencies

The CSLLEA has been conducted regularly since 1992. It enumerates all publicly funded state, county, and local LEAs operating in the United States and provides complete personnel counts. From about 20,000 law enforcement agencies. Historically, the CSLLEA has achieved a 99% response rate.

For purposes of the CSLLEA, a law enforcement agency is a publicly funded government entity responsible for enforcing laws, maintaining public order, and promoting public safety. To be within the scope of the CSLLEA, a law enforcement agency must employ the equivalent of one full-time sworn officer with general arrest powers. The CSLLEA collects information from local police departments, sheriffs’ offices, state law enforcement agencies, and special jurisdiction agencies. Local police departments include municipal, county, tribal, and regional police that are granted authority from the local governing body that created it. Sheriffs’ offices are generally empowered by the state to enforce laws at the county level. Special jurisdiction agencies

provide police services in areas within another jurisdiction; they are usually full-service departments that have been granted law enforcement authority in parks, transportation assets (e.g., airports, subways), housing authorities, schools, hospitals, and government buildings.

The CSLLEA data serve as the sampling frame for the LEMAS survey. Therefore, it is very important to identify and record a complete census of agencies.

#### Census of Federal Law Enforcement Officers (FLEO)

The FLEO was conducted about every 2 years from 1993 to 2008. In 2014, the FLEO was administered in conjunction with the CSLLEA and will continue to be on the same collection cycle as the CSLLEA. The FLEO enumerates all federal law enforcement agencies (about 110 agencies) operating in the United States. It includes agencies that employed full-time officers with federal arrest authority who were also authorized (but not necessarily required) to carry firearms while on duty. Federal law enforcement agencies include the U.S. Customs and Border Protection; FBI; Secret Service; and Bureau of Alcohol, Tobacco, Firearms and Explosives. The FLEO does not collect data on federal officers stationed in foreign countries, officers in the U.S. Armed Forces, the Central Intelligence Agency, and the Transportation Security Administration's Federal Air Marshals.

The FLEO data provide information on personnel counts, including supervisory and nonsupervisory personnel, and primary job functions. The 2008 FLEO surveys were sent and collected through email. In 2014, the FLEO instrument was modified to include 11 items covering 2 main areas: (1) number of personnel and functions performed and (2) outsourcing agreements with private security firms and the use of private security officers.

#### **Goals, Objectives, and Deliverables**

The LECS is a 51-month project with funding dependent on performance; it is awarded yearly. The goal of the LECS is to provide accurate and timely national statistics about the personnel, operations, policies, and procedures of federal, state, county, and local LEAs, with a particular focus on measuring agency performance. The primary objectives of the LECS are to (1) field the LEMAS in 2016, (2) field a LEMAS supplement in 2017 on LEAs' use of body-worn cameras, (3) field the CSLLEA and FLEO in 2018, (4) develop and test a set of LEMAS supplemental survey instruments, and (5) disseminate findings to the public through research reports and a BJS web-based analytic data tool.

Consistent with the use of a cooperative agreement, BJS will have substantial involvement in the project. This includes direct oversight and involvement with the successful applicant in implementing the program, but does not involve day-to-day project management. The following statement of work describes the scope of work necessary for the successful applicant to prepare, design, and carry out the LECS; it includes the main project deliverables with target end dates.

The applicant should briefly describe how they would accomplish each deliverable in the time frame specified and estimate the costs associated with each. This should include (1) a description of the specific strategies and/or innovative approaches that would be conducted to meet each outcome, (2) a description of the capabilities and demonstration of the expertise that will enable them to successfully meet each outcome, and (3) cost estimates for performing the work. The application should describe the applicant's knowledge of the challenges and complexities associated with developing the survey instrumentation, designing the samples, achieving adequate response rates to minimize bias in the national estimates and the proposed

approaches to collecting data, developing and testing the survey instrument, and disseminating the findings.

### **Conceptual Framework for the LECS**

In its report on BJS, the National Research Council criticized BJS's focus on law enforcement statistics, concluding that the BJS portfolio of work contributed an "unfortunate impression" that knowledge about law enforcement "generally can be equated with the head- and resource-count totals in the LEMAS survey and agency censuses." The report went on to say that as a result, "BJS reports [are] silent on the most basic notions of *effectiveness* of police policies or personnel decisions."<sup>2</sup>

Other commentators have also pointed out this issue and described it as a "self-reinforcing" problem; i.e., BJS continues to produce statistics from well-established instruments, and this iterative process is not interrupted by a framework that shifts the focus of its core collections to concepts tied to the purposes and goals of law enforcement.<sup>3</sup>

While such a focus would make BJS's statistical collections more relevant and useful for police policy, there are enormous challenges associated with developing a cogent framework that addresses the purposes and effectiveness of policing and then translates some of the key concepts into survey instruments that can be fielded through the establishment survey vehicles that comprise the LECS.

Applications should include a statement describing the applicant's views on key challenges in law enforcement, performance measurement, and BJS's goals in developing its core law enforcement collections. This statement should also address how to translate these key concepts into the establishment survey vehicle. Applications should also address the issue of series continuity by stating a viewpoint about the previously measured items in the LEMAS, CSLLEA, and FLEO that should be maintained as core elements of BJS's law enforcement statistics.

The recipient of funds is expected to complete all work associated with successfully fielding and delivering the data for these collections and to do so according to the time frames that BJS establishes. The specific tasks for each collection are described below. Although they may vary, in general they include instrument design, development, and testing; frame development or sample design; OMB clearances (whether generic for design and testing work or full clearance for a survey); survey administration procedures, including mixed mode as necessary; data collection and verification; sample maintenance and assessments of bias in responses; weighting and imputation; dataset preparation and delivery, including codebooks and documentation; and submission of data to the National Archive of Criminal Justice Data (NACJD) for archiving.

### **Task 1: Project management (all years)**

- a. Project timeline:** Within 2 weeks of the award start date, the recipient of funds will meet with BJS to discuss the proposed tasks. The recipient of funds will then develop and propose, for BJS approval, a detailed timetable outlining the completion dates for each

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<sup>2</sup> Groves & Cork, p. 146.

<sup>3</sup> Harmon, R. (2014) "Why Do We (Still) Lack Data on Policing?" Charlottesville, VA: University of Virginia Law School, Public Law and Legal Theory Research Paper Series 2014-40.

task, the delivery date for each deliverable and status report, and the dates for scheduled meetings.

- b. Communications strategy:** Applications should include a communications strategy that addresses how the recipient of funds will keep BJS informed about project planning, development, and management.
- c. Meetings:** Applicants should plan for travel for several meetings, including:
  - i. Annual kick-off meetings at BJS to discuss plans and schedule activities for the upcoming project year.
  - ii. Stakeholder meeting(s) as directed by BJS. These will involve meetings with experts and stakeholders that focus on the content of survey instruments. A minimum of one stakeholder meeting may be required for each LEMAS core or supplemental survey for instrumentation development. Stakeholder meetings are not expected for the CSLLEA and FLEO.
  - iii. A wrap-up meeting at the end of the project to present findings and recommendations to BJS.
- d. Status Reports:**
  - i. Provide monthly, written reports that update the status on areas such as tasks and expenditures.
  - ii. During data collection, provide reports on the status of sample collection and paradata, such as number of interviews worked per reporting period, response rates, field costs, etc.

*Required deliverables:* (1) A written timeline for the entire project (all tasks) with the design and project tasks more fully specified and (2) progress reports due within 10 business days after the end of each month or at a time determined mutually between BJS and the successful applicant.

## **Task 2: 2016 LEMAS Survey**

### **Target dates:**

- **Expert panel meeting to occur before February 2016**
- **Begin data collection in August/September 2016**
- **Conclude data collection by April/May 2017**
- **Final data received by June/July 2017**

Successful implementation of the 2016 LEMAS will require valid instrumentation, representative sampling, multimodal administration and follow-up, precise data verification techniques, and effective time management to meet a project deadline of summer 2017.

- a. Instrumentation:** The recipient of funds will work with BJS to finalize the 2016 LEMAS instrument so that data collection can begin in August/September 2016. The first activity will be an expert panel meeting to be held within the first 4 months of the project. The goal of the meeting is to refine the LEMAS survey content and to assess the feasibility of the items and wording of questions. BJS will provide key indicators for the core questionnaire development, and will work with the recipient of funds to ensure that the final survey items are constructed so that estimates from the 2016 LEMAS can be compared to estimates from past LEMAS surveys. In accordance with the 2007 LEMAS,

two instruments will be developed based on agency size; smaller agencies (those with less than 100 full-time sworn officers) will receive a version with fewer items. The recipient of funds will assist in item allocation for the two versions and will recommend the primary mode of administration for the survey as well as the back-up mode for use when needed. The final questionnaires will be approved by BJS prior to administration.

*BJS provides:* Universe of survey items and key indicators for core questionnaire development.

*Required deliverables:* (1) Host expert panel meeting to discuss 2016 LEMAS instrument items, (2) draft survey instruments, and (3) screen shots for a web-based data collection.

- b. Sampling:** BJS is engaging in activities to establish the Law Enforcement Agency Roster (LEAR), which will be completed by December 2015. The LEAR will be an enumeration of the approximately 20,000 law enforcement agencies eligible for the CSLLEA, a subset of which will serve as the frame for the 2016 LEMAS sample. The recipient of funds will draw a nationally representative sample from the LEAR for surveying. The sample is typically composed of approximately 3,500 state and local law enforcement agencies stratified by agency size. The recipient of funds should propose an appropriate sampling strategy building on the methods used in past LEMAS waves.

The LEMAS should facilitate the linkage of agency characteristics and performance measures with data on other social and economic characteristics of geographical places using the Law Enforcement Agency Identifiers Crosswalk (LEAIC) file developed and maintained by BJS. A copy of the latest LEAIC file is available at <https://www.icpsr.umich.edu/icpsrweb/ICPSR/series/366>. All data files maintained in the LEMAS collection should contain a standard identifier (i.e., Originating Agency Identifier or ORI) to allow for records linkage.

*BJS provides:* LEAR database.

*Required deliverables:* Completed sample file with agency identifiers to allow for records linkage and detailed point of contact information.

- c. OMB clearance:** The recipient of funds will prepare and provide to BJS draft materials for OMB clearance for the project. These materials include the 30- and 60-day notices, form 83i, supporting statement, justification memorandum, and copies of all survey documents, including but not limited to questionnaires, all instructions and follow-up documents, and any telephone scripts. BJS will provide sample documents as needed. Applicants should plan on a period of 7 months to obtain clearance, which includes BJS internal review. OMB clearance must be obtained by August 2016.

*Required deliverables:* Draft materials for OMB clearance for the information collection.

- d. Survey administration and data collection procedures:** The recipient of funds should provide a detailed plan on the survey protocols to be implemented, including quality control procedures, administration techniques to ensure data quality and completeness to minimize bias in the estimates, complete fielding within a 9-month period (August/September 2016 to April/May 2017), and multiple survey administration modes. The recipient of funds will develop the proposed data edits, data conversion,

nonresponse adjustment procedures, and data documentation for BJS review. Data edits and processing should be documented thoroughly for verification.

A common problem facing establishment surveys, such as those proposed in this solicitation, is finding the right person(s) to complete the questionnaire. In responding to this solicitation, BJS anticipates that applicants will describe their approaches to solving this common problem. Applicants should propose methods for identifying the appropriate law enforcement agency staff who can serve as respondents.

The recipient of funds should have a system in place to verify the consistency, accuracy, and nonresponse of completed surveys, and should conduct verification throughout the process to minimize nonresponse bias. The recipient of funds should present a plan to describe nonresponse bias and data quality procedures, and develop a tracking system to provide BJS with ongoing, real-time status of the progress of survey administration. The tracking system should be designed to allow for summary reports that provide information about the status of the collection, including the overall response rate, response rate for selected subsets (such as all strata in the sample design), assessment of nonresponse bias, and other information to be determined in conjunction with the BJS project manager. Past LEMAS surveys have achieved at least a 90% response rate. BJS's primary goals for the survey are a high response rate in conjunction with minimizing bias in attaining national representation. BJS expects that the recipient of funds will minimize bias in unit and item response rates, subject to cost and timeliness constraints. Applicants should provide a statement of the approach(es) they will take to identify and minimize bias, including a discussion of nonresponse bias analysis plans if unit nonresponse rates fall below 80% and imputation procedures for items that are missing. The tracking system should remain current and accessible to the BJS project manager at all times throughout the data collection. The applicant should explain their plans for a tracking system that would meet BJS's needs and what elements should be captured in such a system.

*Required deliverables:* (1) Operational electronic data collection method; (2) written documentation of data processing procedures and data cleaning; (3) interim tracking files in SPSS; (4) field progress reports of any problems with data collection activities and corresponding remedial action along with a written report of findings from the survey administration including unweighted counts, based on the data; (5) electronic tracking system delivered monthly to assess response rates, data quality, and nonresponse bias; (6) preliminary raw data at 50% and 75% response rate in SPSS; and (7) syntax documenting all modifications to the raw data file.

- e. **Final verification and dataset:** Final verification procedures should be conducted prior to delivering a final dataset to BJS. Any data issues must be reported to BJS for resolution. The recipient of funds is expected to provide a well-developed and justified approach to addressing item-specific missing or incomplete data, including any proposed data allocation, imputations, or nonresponse adjustments.

The recipient of funds will produce a final data file and codebook documentation following specifications used by the NACJD and standards issued by the Inter-University Consortium for Political and Social Research. The recipient of funds will also provide supporting documentation, including a detailed codebook. Documentation should also describe the sampling plan, performance of the sample, description of weighting

procedures, and codes that identify aspects of data quality from the collection (such as missing data and imputed values) that allow users to appropriately analyze the data.

*Required deliverables:* (1) Documentation of any data challenges and (2) final cleaned electronic versions of all datasets consistent with NACJD requirements.

### **Task 3: 2017 LEMAS Body-Worn Camera (BWC) Supplement**

#### **Target dates:**

- **Begin data collection by August/September 2017**
- **Conclude data collection by April/May 2018**
- **Final data received June/July 2018**

Successful implementation of the 2017 LEMAS BWC supplement will mirror the implementation requirements of the 2016 LEMAS survey to meet a project deadline of summer 2018.

- a. Instrumentation:** BJS has developed and will pilot test a survey on body-worn cameras that will begin administration in May 2015. The survey can be accessed here: <http://www.bjs.gov/content/pub/pdf/lerisbwcsurvey.pdf>. The survey addresses the reasons for acquiring cameras (or not), alternate means of documenting officer-citizen interaction, policies and procedures surrounding camera use and handling of the resulting video files, and any obstacles to camera acquisition and use. The survey will be administered to a sample of LEAs and is designed to take about 20 minutes or less to answer all the questions. The goal of the 2017 LEMAS BWC supplement is to readminister the BWC survey used in the 2015 pilot to examine changes in the use of and policies regarding body-worn cameras in the 2-year period between 2015 and 2017. The recipient of funds will work with BJS to evaluate the results of the pilot test and adjust the instrument as necessary, particularly taking into account differences in the sampling strategies between the pilot and the LEMAS BWC sample. The final questionnaire(s) will be approved by BJS prior to administration.

*BJS provides:* (1) BWC survey and (2) documentation of the first pilot test of the BWC survey.

*Required deliverables:* (1) Recommendations for modifications to the BWC survey items based on the pilot test results, (2) any draft survey instruments, and (3) screen shots for a web-based data collection.

- b. Sampling:** The recipient of funds will administer the LEMAS BWC supplement to the same sample of agencies drawn for the 2016 LEMAS. The recipient of funds will also compare the sample used in the pilot test (approximately 2,000 agencies) to the 2016 LEMAS sample (approximately 3,500 agencies) to determine any compositional differences between the two sets of agencies that might affect the ability to examine changes across the two administration time periods. Information on the sampling plan used for the BWC pilot test can be accessed at <http://www.bjs.gov/content/pub/pdf/lerissamplesize.pdf>. All data files maintained in the LEMAS collection (core and supplemental surveys) should contain a standard identifier (i.e., ORI) to allow for records linkage.

*BJS provides:* 2015 BWC pilot sample.

*Required deliverables:* Report comparing compositional differences between the 2016 LEMAS sample agencies and the 2015 BWC pilot sample agencies.

- c. **OMB clearance:** The recipient of funds will prepare and provide to BJS draft materials for OMB clearance for the project. These materials include the 30- and 60-day notices, form 83i, supporting statement, justification memorandum, and copies of all survey documents, including but not limited to questionnaires, all instructions and follow-up documents, and any telephone scripts. BJS will provide sample documents as needed. Applicants should plan on a period of 7 months to obtain clearance, which includes BJS internal review. OMB clearance must be obtained by August 2017.

*Required deliverables:* Draft materials for OMB clearance for the information collection.

- d. **Survey administration and data collection procedures:** The recipient of funds should employ the same methods as detailed in *Deliverable 2: 2016 LEMAS Survey*. The data collection period for the 2017 LEMAS BWC supplement will occur between August/September 2017 and April/May 2018.

*Required deliverables:* (1) Operational electronic data collection method; (2) written documentation of data processing procedures and data cleaning; (3) interim tracking files in SPSS; (4) field progress reports of any problems with data collection activities and corresponding remedial action along with a written report of findings from the survey administration including unweighted counts, based on the data; (5) electronic tracking system delivered monthly to assess response rates, data quality, and nonresponse bias; (6) preliminary raw data at 50% and 75% response rate in SPSS; and (7) syntax documenting all modifications to the raw data file.

- e. **Final verification and dataset:** The recipient of funds should employ the same methods as detailed in *Deliverable 2: 2016 LEMAS Survey*.

*Required deliverables:* (1) Documentation of any data challenges and (2) final cleaned electronic versions of all datasets by June/July 2018 consistent with NACJD requirements.

#### **Task 4: LEMAS Research and Development**

**Target dates:**

- **Begin supplement development no later than June/July 2016**
- **Begin core survey modification no later than June/July 2017**
- **Final products completed and made publicly available by December 2018**

The LEMAS research and development work will focus on transforming the LEMAS survey into a collection of surveys containing a core instrument and a series of supplements. The goal of these activities is to refine the key indicators of the core survey based on findings from the 2016 LEMAS, and to create a set of supplemental surveys that will address important aspects of police performance or agency policy and practices. The applicant is not required to detail how the supplements will be fielded but rather how they will be developed. However, there may be an opportunity to field one of the surveys in 2019. Funding for such

activity will be provided through additional funds and should not be added to the budget for the current solicitation.

The LEMAS research and development work will focus on two main areas: sampling validation and instrumentation.

- a. **Sampling validation:** Past LEMAS surveys used a sample design that stratified state and local law enforcement agencies based on type (i.e., state law enforcement, local law enforcement, and sheriff's department) and number of full-time sworn officers. Agencies with 100 or more full-time sworn personnel were selected into the sample with certainty. Agencies with less than 100 full-time sworn personnel were selected based on a stratified random sample by type of agency and number of sworn personnel. Weights for national representation were based on number of sworn personnel. This technique has allowed BJS to produce precise national estimates at the agency and officer levels.

In addition to national estimates, BJS is interested in exploring sampling options that would allow for the generation of subnational estimates. State-level estimates are of primary interest to BJS, but applicants are encouraged to suggest other geographic levels that would provide meaningful comparisons of law enforcement agencies and officers. The recipient of funds will use the 2016 LEMAS and apply post-stratification weighting to examine subnational estimates. Any subnational estimate strategies proposed would need to ensure the ability to maintain an acceptable level of precision in the national estimates on key indicators, such as total operating budget, number of staff by primary classification, and demographic characteristics of sworn officers. The goal of this sample design work is for the recipient of funds to make recommendations on sampling options and stratification weights for BJS's use in future LEMAS iterations. Final decisions about the sample design and weighting procedures will require approval by BJS. Applicants must demonstrate knowledge of sampling strategies and provide options for stratification as indicated above.

*BJS provides:* Previous LEMAS survey administrations and/or data available to support the recipient of funds in the sampling validation process.

*Required deliverables:* Report providing detailed discussion of sample designs, weighting scheme, sample frames, power analyses, data collection methodologies, expected outcomes, and cost estimates for each sampling type (must be delivered for BJS review by September 2018 so it can be made publicly available by December 2018).

- b. **Instrumentation:** LEMAS research and development will require analysis of the existing LEMAS instruments, taking into account the sampling validation work above and the results of the 2016 LEMAS administration. The recipient of funds will determine if a single core instrument should be administered to the sample or if multiple instruments should be administered and tailored based on the sample validation above and/or the type of agency receiving the survey. Items should be evaluated to determine whether those measures are core to LEMAS. In addition, survey items that are responsive to the recommendations of the White House Task Force on 21st Century Policing should also be examined.

The recipient of funds will develop and test two or three instruments to serve as future LEMAS supplements; topics for the supplemental surveys are to be determined.

Applicants should outline the process they would use to develop recommendations for the supplemental surveys, the process they would use to draft the instrumentation, and how the instruments would be tested prior to delivery to BJS. Applicants are encouraged to generate survey ideas based on salient topics or gaps in the current statistical information pertaining to law enforcement agencies. Ideas from the White House Task Force on 21st Century Policing, the concepts inherent to constitutional policing, and improving police-community relations should be considered. The LEMAS supplemental instruments should be short, limited to approximately 30 minutes burden per survey. Applicants should describe how they would develop the instrumentation and the process they will use to obtain a final set of instruments, including any engagement with stakeholders.

*Required deliverables:* (1) Interim report providing a detailed discussion of data collection modes, expected outcomes, and cost estimates for each questionnaire, (2) item development on contemporary topic(s), and (3) all tested survey instruments published and available to the public by December 2018.

### **Task 5: 2018 CSLLEA and FLEO**

#### **Target dates:**

- **Begin data collection by August/September 2018**
- **Conclude data collection by April/May 2019**
- **Final data received June/July 2019**

Successful implementation of the 2018 CSLLEA and FLEO will mirror the implementation requirements of the 2016 LEMAS survey and 2017 LEMAS BWC supplement to meet a project deadline of summer 2019.

- a. Instrumentation:** BJS will take the lead role in developing the core measurement items to allow for comparisons to past CSLLEA and FLEO efforts. The recipient of funds will assist in item development as needed in addition to item comparisons over time. The recipient of funds will develop instruments for multiple data collection modes (i.e., web and paper) and cognitive testing should be performed for both written and electronic formats. The final questionnaires will be approved by BJS prior to administration.

*BJS provides:* Previous CSLLEA and FLEO instruments.

*Required deliverables:* (1) Interim report on survey items based on prior iterations, (2) any draft survey instruments, and (3) screen shots for a web-based data collection.

- b. Universe/frame development:** The LEAR is the universe list for the 2018 CSLLEA; a separate universe list for federal agencies will be provided for the FLEO. The LEAR work will be completed in 2015. Because the CSLLEA and FLEO will be conducted in 2018, the LEAR will need to be updated to determine eligibility and account for new agencies. The LEAR will be the primary source of information used to determine whether agencies are still in scope for either the CSLLEA or FLEO. The recipient of funds will be required to use other methods to determine if all eligible agencies are accounted for and if agencies on the current LEAR are still eligible. Applicants should propose methods for identifying the appropriate law enforcement agency staff who can serve as respondents.

*BJS provides:* LEAR database.

*Required deliverables:* Completed sample file with agency identifiers and detailed point of contact information.

- c. **OMB clearance:** The recipient will prepare and provide to BJS draft materials for OMB clearance for the project. These materials include the 30- and 60-day notices, form 83i, supporting statement, justification memorandum, and copies of all survey documents, including but not limited to questionnaires, all instructions and follow-up documents, and any telephone scripts. BJS will provide sample documents as needed. Applicants should plan on a period of 7 months to obtain clearance, which includes BJS internal review. OMB clearance must be obtained by August 2018.

*Required deliverables:* Draft materials for OMB clearance for the information collection.

- d. **Survey administration and data collection procedures:** The recipient of funds should provide a detailed plan on the survey protocols to be implemented, including quality control procedures, administration techniques to ensure 99% response rate within a 9-month data collection period (August/September 2018 to April/May 2019), and multiple survey administration modes. The recipient of funds will develop the proposed data edits, data conversion, nonresponse adjustment procedures, and data documentation for review by BJS. Data edits and processing should be documented thoroughly for verification. The same methods and tracking for the LEMAS surveys should be implemented for the 2018 CSLLEA and FLEO.

*Required deliverables:* (1) Draft materials for OMB clearance for the deliverable; (2) operational electronic data collection method; (3) written documentation of data processing procedures and data cleaning; (4) interim tracking files in SPSS; (5) field progress reports of any problems with data collection activities and corresponding remedial action along with a written report of findings from the survey administration including unweighted counts, based on the data; (6) electronic tracking system delivered periodically (1 month; 50%,75%, and 90% response rate); (7) preliminary raw data at 50%, 75%, and 90% response rate in SPSS; and (8) syntax documenting all modifications to the raw data file.

- e. **Final verification and dataset:** The recipient of funds should employ the same methods as detailed in *Deliverable 2: 2016 LEMAS Survey*.

*Required deliverables:* (1) Documentation of any data challenges and (2) final cleaned electronic versions of all datasets by June/July 2018 consistent with NACJD requirements.

## **Task 6: Dissemination of Findings**

### **Target dates:**

- **Begin writing first report by August/September 2017**
- **Dates for drafting other reports will have variable start and end dates**
- **Formatting of data for BJS web-based analytic tool based on final dataset due dates for Deliverables 2 to 5.**

The recipient of funds will assist in data analysis for BJS scholarly products produced using data collected under the LECS program. These products may take the form of one or more published, peer-reviewed, journal articles and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, or similar scientific products. The final content of these products will be determined by BJS.

The recipient of funds will be asked to prepare final datasets of the deliverables above based on file specifications as outlined by BJS. BJS will use these datasets in a web-based analytical tool that will be developed outside of this solicitation. The tool will allow the public to create tables linking the LEMAS, CSLLEA, and FLEO data to Census and Uniform Crime Reporting data.

The recipient of funds will produce a final report summarizing all of the completed tasks and giving recommendations for future research with the LEMAS, CSLLEA, and FLEO.

*Required deliverables:* (1) Statistical analysis and report writing assistance as needed, (2) data files for BJS web-based analysis tool, and (3) a final report of the project summary and recommendations.

## **B. Federal Award Information**

BJS estimates that it will make one initial award of \$1.5 million for a 51-month project period, beginning on October 1, 2015. Those funds are expected to cover the deliverables associated with the 2016 LEMAS survey as well as work on the 2017 LEMAS BWC supplement. BJS expects the recipient of funds to design data collection options within these funding constraints.

The total funding for all LECS project tasks is not expected to exceed \$3.5 million, including the initial award. Following the initial obligation, BJS intends to fund the remainder of the project through subsequent obligations depending on the recipient's performance and the availability of federal funds. Applicants should plan to respond to invited applications for such supplemental awards, and planning should take into consideration the potential funding cycles involved. The budget submitted in response to this solicitation should present costs associated with the full 51-month project timeline as well as breakdowns by project year and deliverable.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed – in cost or length of project period – the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to BJS of funds for research, development, and evaluation awards, this information will assist BJS in considering whether partial funding of proposals that would not receive full funding would be productive. (If BJS elects to fund only certain phases of a proposed project in FY 2015, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

BJS may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding,

strategic priorities, BJS's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and BJS's assessment of the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

#### **Type of Award<sup>4</sup>**

BJS expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used because BJS expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under Section [F. Federal Award Administration](#), for details regarding the federal involvement anticipated under an award from this solicitation.

As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

**Please note:** Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

#### **Financial Management and System of Internal Controls**

If selected for funding, the award recipient must:

(a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the nonfederal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework" issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with Federal statutes, regulations, and the terms and conditions of the federal awards.

(c) Evaluate and monitor the nonfederal entity's compliance with statutes, regulations, and the terms and conditions of federal awards.

(d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.

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<sup>4</sup> See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or the nonfederal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **What will not be funded:**

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct data collection, research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.

### **Cost Sharing or Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Pre-Agreement Cost Approvals**

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact BJS for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2015 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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<sup>5</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

The Director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section under “Solicitation Requirements” in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

### **Eligibility**

For additional eligibility information, see Title page.

### **Cost Sharing or Match Requirement**

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

## D. Application and Submission Information

### What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may affect negatively the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file.

#### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

#### 2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. BJS uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

## 2. Program Narrative

The program narrative section of the application should not exceed 40 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 40-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 40-page limit.

If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.<sup>6</sup>

### Program Narrative Guidelines:

#### a. **Title Page** (not counted against the 40-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and email address) for both the applicant organization and the principal investigator.

#### b. **Table of Contents and Figures** (not counted against the 40-page program narrative limit).

#### c. **Main Body.**

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- Statement of the Problem
- Project Design and Implementation
- Capabilities/Competencies.

Within these sections, the narrative should address—

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<sup>6</sup> As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.”

- Purpose, goals, and objectives.
- Review of relevant literature. This section does not need to include a history of the LEMAS, CSLLEA, or FLEO data collections, unless relevant to the overall literature review.
- Detailed description of research design and methods, including innovative approaches to address all deliverables outlined in the statement of work. This should include a discussion of the differences in size and scope between LEMAS and CSLLEA and any impact those differences may have on (1) the design of each data collection, (2) the survey administration protocols developed to implement the collections, (3) the types of paradata needed to track the implementation of the collection and provide meaningful information to BJS about the fielding of the survey, and (4) the administrative costs associated with each collection.
- Management plan and organization.
- Data management plan.

All BJS-funded research requires development of a data management plan (DMP) that guides data management activities throughout the agreement and ensures the timely release of the project's data and derived products after project completion. Applications must include a preliminary (two-page limit) DMP that explains how data products will be developed, documented, formatted, and delivered to BJS in a manner that ensures optimal utility. Following funding of a proposal, the applicant will coordinate with an identified BJS data steward to develop a comprehensive DMP that will be periodically reviewed and enhanced as the project evolves. Although DMPs will differ according to the specific requirements of each project, the DMP is expected to address, at a minimum, the following:

- The roles, rights and responsibilities of all project participants
- Expected data and metadata
- Data formats, organization and dissemination approach
- Data retention and release timelines
- Data security, confidentiality protection and other policy requirements
- Data archiving and preservation of access.

At project completion, all data and complete metadata descriptions must be provided to the BJS project manager, who will act as data steward. In addition, BJS requires the recipients of an award under this solicitation to submit to the NACJD at the University of Michigan (through BJS) all datasets that result in whole or in part from the work funded by BJS, along with associated files and any documentation necessary to allow for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the "Program

Narrative” section of “What an Application Should Include.” For information BJS has previously agreed should not be made publicly available for a period of time or that is undergoing review, data will be placed in a secure area until the period of exclusivity or review period has expired.

- Plan for dissemination to broader audiences. Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (See Deliverable 6 in the Statement of Work)

**d. Performance Measures**

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Data Grantee Provides</b>
Develop the LECS program and administer the LEMAS, CSLLEA, and FLEO data collections.	<p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet expectations.</p>	<p>Provide draft survey instruments (by data collection).</p> <p>Provide draft materials for OMB clearance for the information collection (by data collection).</p> <p>Provide written documentation of data processing procedures and data cleaning (by data collection).</p> <p>Provide recommendations for modifications to the BWC survey items based on the pilot test results.</p> <p>Provide the report comparing compositional</p>

		<p>differences between the 2016 LEMAS sample agencies and the 2015 BWC pilot sample agencies.</p> <p>Provide an interim report on CSLLEA and FLEO survey items based on prior iterations.</p> <p>Provide the syntax documenting all modifications to the raw data files (by data collection).</p> <p>Provide documentation of any data challenges (by data collection).</p> <p>Field progress reports of any problems with data collection activities and corresponding remedial action along with a written report of findings from the survey administration including unweight counts, based on the data (by data collection).</p> <p>Provide screen shots for web-based data collection (by data collection).</p> <p>Provide documentation of the operational data collection method (by data collection).</p>
	<p>Number of records/data in the database that are complete and accurate.</p>	<p>Provide the sample file with agency identifiers that allow for record linkage and detailed point of contact information (by data collection).</p> <p>Provide interim data files (by data collection). Provide electronic tracking system delivered monthly</p>

		to assess response rates, data quality, and nonresponse bias (by data collection).
	Number of data requests that are completed on time and adhere to data quality.	Provide final datasets that have been verified and cleaned with proper identification and weighting (LEMAS only) variables included (by data collection).
Conduct research and development on law enforcement data that focuses on transforming the LEMAS survey into a collection of surveys.	Number of deliverables completed on time.  Number of deliverable that meet expectations.	Provide a written report describing sampling strategies with recommendation on how agencies should be stratified and sampled.  Provide a written report outlining the key indicators for LEMAS, and describing the measures that should be tracked over time.  Develop and test two or three supplemental LEMAS surveys.
Disseminate data from the LECS collections for public access.	Number of data requests that are completed on time and adhere to data quality.	Final datasets of the 2016 LEMAS, 2017 LEMAS BWC supplement, 2018 CSLLEA, and 2018 FLEO that have been verified and cleaned with proper identification and weighting (LEMAS only) variables included.
Provide quality project management support to BJS to strengthen research and data collection activities.	Number of deliverables completed on time.  Number of deliverables that meet expectations.	Provide deliverables as outlined in Task 1, including project timeline and progress reports.  Provide documentation of any data analysis performed as part of collaboration on BJS reports, including any

		drafted text, syntax for analysis, and data tables.  Provide the final report of the project summary and recommendations.
	Number of meetings attended.	Number of meetings, by type, attended as outlined in Task 1.

**e. Appendices** (not counted against the 40-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the project (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project.
- Proposed project timeline and expected milestones.
- List of any previous and current BJS awards to applicant organization and investigator(s), including the BJS-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the BJS award(s).
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).

### 3. Budget Detail Worksheet and Budget Narrative

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) BJS expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The budget should present costs associated with the full 51-month project timeline as well as breakdowns by project year and deliverable.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at [www.ojp.gov/financialguide/index.htm](http://www.ojp.gov/financialguide/index.htm).

#### b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be sound mathematically, and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**IMPORTANT NOTE: BJS requires that the application include a separate Budget Detail Worksheet and Budget Narrative for each proposed subcontractor or subrecipient of funds associated with the proposed program.**

#### c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

#### d. Pre-Agreement Cost Approvals

For information on pre-agreement costs approvals, see Section [B. Federal Award Information](#).

#### **4. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

#### **5. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

#### **6. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

#### **7. Additional Attachments**

##### **a. Applicant disclosure of pending applications<sup>7</sup>**

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<sup>7</sup> Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable funding agency.

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/Project Name</b>	<b>Name/Phone/Email for Point of Contact at Funding Agency</b>
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse and Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**b. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation

objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of data collected, research, and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization.

OR

b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:

a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project,

should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

#### **9. Financial Management and System of Internal Controls Questionnaire**

In accordance with [2 CFR 200.205](#), Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

#### **10. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

#### **How to Apply**

Applicants must register in, and submit applications through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJS strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;#amp;” format.</b>		

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be

registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to <http://www.grants.gov/web/grants/register.html>.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled "Special Data Collections and Statistical Studies" and the funding opportunity number is BJS-2015-4248.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

#### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the [Grants.gov Customer Support Hotline](#) or the [SAM Help Desk](#) to report the technical issue and receive a tracking number. Then the applicant must email BJS through the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their

application. The email must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, including firewalls.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.gov/funding/Explore/CurrentFundingOpportunities.htm](http://www.ojp.gov/funding/Explore/CurrentFundingOpportunities.htm).**

## **E. Application Review Information**

### **Selection Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

**Statement of the Problem** (Understanding of the problem and its importance) – 20%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

**Project Design and Implementation** (Quality and technical merit) – 40%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 40%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations))

identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).

2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

## **Budget**

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

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## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. BJS reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the General Services Administration’s Excluded Parties List

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

All final award decisions will be made by Director of the Bureau of Justice Statistics. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior BJS and OJP awards, research independence and integrity, strategic priorities and available funding when making awards.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

OJP award notification will be sent from GMS. Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

### **Administrative, National Policy, and other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)

- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>8</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via OJP's [Mandatory Award Terms and Conditions](#) page of the [Funding Resource Center](#).

As stated above, BJS expects that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard "federal involvement" conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJS.

In addition to any "federal involvement" condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award, consistent with OJP policy and guidance on "conference" approval, planning, and reporting.

BJS awards under this kind of solicitation will also typically include a number of special conditions including, among others, the following four:

- First, the project will be funded as a cooperative agreement. The basis for using a cooperative agreement is the substantial involvement of BJS in providing information, guidance, and direction relative to special data collections and the development of statistical studies. BJS will exercise general approval over the entire project subject to the recipient's rights to disclose and publish certain information after review and comment by BJS, as set forth in this memorandum.
- Second, the award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, or other publications without the

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<sup>8</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

prior written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.

- Third, BJS will retain all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the Internet and at the National Archive of Criminal Justice Data at the University of Michigan. The award recipient will not be able to release or disclose any data collected through this cooperative agreement without prior written BJS approval or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Protected data include all data collected by BJS for which BJS has not yet made a public release of the data, but does not include aggregate results derived from the data by the recipient provided that such results do not contain any confidential, proprietary, or personally identifiable information.
- Fourth, the award recipient will retain a nonexclusive use of any methodological findings derived by the recipient or BJS from the project, subject to the following condition: Only with the prior review and written comment by BJS, which includes the mutual agreement on the representation of BJS's methodologies, may the recipient publicly disclose its or BJS's methodologies derived from the project prior to the release of the dataset. Such review and comment period shall not exceed 45 days after receipt of the proposed publication. Any such disclosures of the recipient's or BJS's methodologies must be public in nature and contribute meaningfully to the development and advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, Internet postings or similar outlets that constitute a broad public release of the methodological information.

### **General Information About Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, monthly progress reports, a final progress report, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr/](http://www.nsf.gov/bfa/dias/policy/rppr/). Future awards and fund drawdowns may be withheld if reports are delinquent.

Special reporting requirements may be required by OJP depending on the statutory, legislative, or administrative requirements of the recipient or the program.

### **Draft and Final Summary Overview of the Work Conducted under the Award**

The overview is expected to provide an overall summary of the work under, and results of, the project funded by BJS under this solicitation. Among other things, the summary overview should address the purpose of the project, project subjects (if applicable), project design and methods, data analysis, project findings, and implications for criminal justice policy and practice in the United States.

A draft summary overview no longer than 10 pages long (double-spaced) is to be submitted 90 days prior to the end of the project period for BJS review and comment.

### **Required Datasets and Associated Files and Documentation**

As discussed earlier, BJS requires recipients of an award under this solicitation to submit to NACJD all datasets that result in whole or in part from the work funded by BJS, along with the

final Data Management Plan, associated files, and any documentation necessary to allow for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the "Program Narrative" section of [What an Application Should Include](#).

## **G. Federal Awarding Agency Contact(s)**

For additional Federal Awarding Agency Contact(s), see page 2.

For additional contact information for Grants.gov, see page 2.

## **H. Other Information**

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Application Checklist

### FY 2015 Law Enforcement Core Statistics Program (LECS)

This application checklist has been created to assist in developing an application.

#### What an Applicant Should Do:

*Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNs Number (see page 32)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 32)

*To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 33)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 33)

*To Find Funding Opportunity:*

\_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 33)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 33)

\_\_\_\_\_ Sign up for Grants.gov [email](#) notifications (optional) (see page 32)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

*After application submission, receive Grants.gov email notifications that:*

\_\_\_\_\_ (1) application has been received

\_\_\_\_\_ (2) application has either been successfully validated or rejected with errors  
(see page 33)

*If no Grants.gov receipt, and validation or error notifications are received:*

\_\_\_\_\_ contact BJS regarding experiencing technical difficulties (see page 33)

#### General Requirements:

\_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

#### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 20)

\_\_\_\_\_ Project Abstract (see page 20)

\_\_\_\_\_ Program Narrative (see page 21)

\_\_\_\_\_ Appendices (see page 26)

\_\_\_\_\_ Budget Detail Worksheet (see page 27)

\_\_\_\_\_ Budget Narrative (see page 27)

\_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 18)

\_\_\_\_\_ Read OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm](http://www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm) (see page 19)

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 31)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 28)

\_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 28)

\_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 28)

\_\_\_\_\_ Additional Attachments

\_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 28)

\_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 29)

\_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable)  
(see page 31)